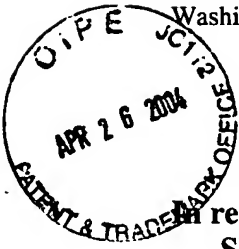


COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

SERIAL NO. 10/645,177  
IBM DOCKET NO. AUS920030460US1  
DATE: April 21, 2004



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

**Shunguo**

**Serial No.: 10/645,177**

**Filed: August 21, 2003**

**Title: System and Method for Device-**

**Based Access Privilege to an Account**

: **Group Art Unit:**  
: **Intellectual Property Law Department**  
: **International Business**  
: **Machines Corporation**  
: **Intellectual Property Law Dept.**  
: **11400 Burnet Road**  
: **Austin, Texas 78758**

**INFORMATION DISCLOSURE STATEMENT**

The Commissioner of Patents  
Washington, D.C. 20231

Sir:

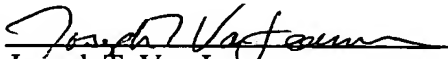
Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

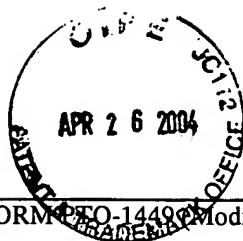
While this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such. In accordance with 37 CFR § 1.97(g) the filing of this Supplemental Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56 (a) exists.

This Supplemental Information Disclosure Statement is believed to be timely pursuant to 37 CFR § 1.97(b), therefore no additional fees are believed to be necessary. If, however, additional fees are deemed to be necessary, the Commissioner is hereby authorized to charge such fees to IBM's deposit account No. 09-0447.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 CFR § 1.98 (a)(1). A copy of each of the items on PTO-1449 is supplied herewith.

Respectfully submitted,

By   
Joseph T. Van Leeuwen  
Attorney for Applicant  
Registration No. 44,383  
Telephone: (512) 301-6738  
Facsimile: (512) 301-6742



In Place of FORM PTO-1449 (Modified)

Serial No. 10/645,177

Applicant: Shunguo

Filing Date: 8/21/2003

Group:

Atty. Docket No. AUS920030460US1

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT**

**U. S. PATENT DOCUMENTS**

Examiner <u>Initial</u>	<u>Document Number</u>	<u>Date</u>	<u>Name</u>	<u>Class</u>	<u>Subclass</u>	Filing Date if <u>Appropriate</u>
_____	AA 2002/0091635	Jul 11, 2002	Dilip et al.	705	39	Dec 31, 2001
_____	AB					
_____	AC					
_____	AD					
_____	AE					
_____	AF					
_____	AG					
_____	AH					
_____	AI					
_____	AJ					
_____	AK					
_____	AL					

**FOREIGN PATENT DOCUMENTS**

Examiner <u>Initial</u>	<u>Document Number</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>Subclass</u>	Translation <u>Yes</u> <u>No</u>
_____	AM					
_____	AN					
_____	AO					
_____	AP					

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner <u>Initial</u>	
_____	AQ "SkandiaBanken Selects Infinite WAP Server for Banking," <u>Telephone IP News</u> , v11, n10, Oct 2000 (3 pages).
_____	AR
_____	AS

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

**SERIAL NO. 10/645,177**

IBM DOCKET NO. AUS920030460US1

DATE: April 21, 2004

Sir:

Assignee Name: International Business Machines Corporation

Assignee Residence: Armonk, New York

Transmitted herewith for filing is the Patent Application of:

Inventors: Shunguo

For: System and Method for Device-Based Access Privilege to an Account

Enclosed are:

- ☒ Information Disclosure Statement;
- ☒ Modified form 1449 listing 2 references;
- ☒ copies of any non-U.S. Patent references listed on form 1449.

37 CFR § 1.97 is satisfied by the following:

☒ This Supplemental IDS is being filed pursuant to CFR § 1.197(b), therefore no fee as set forth in § 1.17(p) is believed to be due. If, however, more than three months have elapsed since the filing date and a first Office action on the merits has already been mailed, then please charge my Deposit Account No. 09-0447 the fees set forth in § 1.17(p) ~~[\$180.00]~~. **A duplicate copy of this sheet is enclosed.**

☐ This Supplemental IDS is being filed pursuant to CFR § 1.197(c) and:  
(check one of the following)

☐ is accompanied by the fee set forth in § 1.17(p), please charge my Deposit Account No. 09-0447 the fees set forth in § 1.17(p) ~~[\$180.00]~~. **(a duplicate copy of this sheet is enclosed);**

☐ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or

☐ no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

☐ This Supplemental IDS is being filed pursuant to CFR § 1.197(d) and:  
(check first item and one of next two items)

☐ is accompanied by the fee set forth in § 1.17(p), please charge my Deposit Account No. 09-0447 the fees set forth in § 1.17(p) ~~[\$180.00]~~. **(a duplicate copy of this sheet is enclosed); and**

DATE: April 21, 2004

       each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or

       no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

  X   The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 09-0447. **A duplicate copy of this sheet is enclosed.**

  X   Any additional patent application processing fees under 37 CFR Sect. 1.17.

Respectfully submitted,

By Joseph T. Van Leeuwen  
Joseph T. Van Leeuwen  
Attorney for Applicant  
Registration No. 44,383  
Telephone: (512) 301-6738  
Facsimile: (512) 301-6742

**Certificate of Mailing Under C.F.R. §1.8(a)**

I hereby certify that this correspondence was sent via First Class Mail to the United States Patent Office in an envelope with sufficient postage addressed to Commissioner for Patents, Washington, D.C. 20231 on April 21, 2004.

By: Joseph T. Van Leeuwen  
Joseph T. Van Leeuwen

4/21/04  
Date